

**NCDHHS Division of Social Services
Family Support and Child Welfare Services Section
Monitoring Plan**

I. Child Welfare Services:

Purpose:

The purpose of this plan is to establish a formal monitoring process for several federal and state funded child welfare programs for which the Family Support and Child Welfare Services Section is responsible. The plan will help to ensure the integrity of these programs and that the subrecipients utilizing these funding sources are in compliance with applicable laws and regulations, and stated results and outcomes. The programs are listed below.

Since Social Services Block Grant (SSBG) funding is used for both adults and families with children, the Division of Aging and Adult Services and the Division of Social Services, Family Support and Child Welfare Services Section, will jointly be responsible for carrying out this monitoring. The Family Support and Child Welfare Services Section monitors child welfare services funded with SSBG, and the Division of Aging and Adult Services monitors adult services and other general services funded with SSBG. This plan addresses how the SSBG monitoring is carried out, as well as other child welfare programs.

To ensure that requirements are being met with respect to the intent of federal & state funding, NC Division of Social Services, Family Support and Child Welfare Section, will monitor compliance of both fiscal & programmatic criteria. The review will encompass both county agencies and their sub-recipients. This review will take place via varied methods, including desk audits, review of sub-recipient reports, site visits, case record reviews, and others. Whenever possible, if existing monitoring procedures and instruments are in place, they will be incorporated into the overall monitoring plan as they are.

Programs to be monitored:

Programs	Service Codes, if Applicable.	Funding Source(s)	Responsible Monitor	Schedule of Monitoring	Review Tool Status
Contracts	N/A	Various (See list of contracts to be monitored)	Contract Administrators	Annually	Attached
CPS Intake	211	TEA, ,Child Welfare MOE	CFSR (<i>Child and Family Service Reviews</i>) CPR (<i>Children's Programs Representative</i>)	Annually	Attached
CPS Investigation	210	TEA, ,Child Welfare MOE, IV-E Waiver Funds* Adoption Incentive Funds*	CFSR CPR	Annually	Attached
CPS Case Planning and Case Management	215	IV-E Administrative Activities, TEA, SSBG, Child Welfare MOE	PCM CFSR CPR	Annually	Attached

Programs	Service Codes, if Applicable.	Funding Source(s)	Responsible Monitor	Schedule of Monitoring	Review Tool Status
Foster Care Maintenance Payments	N/A	IV-E (Protocol and Instrument already in effect) TEA, State Foster Home Fund	CPR PCM	Annually	Attached
Title IV-E Maximization Program and State Funds	N/A	Title IV-E, State Appropriation, TANF transferred to SSBG	NA	Not subject to monitoring per Compliance Supplement: "This requirement has not been passed to the subrecipients; therefore additional testing is not required."	NA
Foster Care Services	100, 101, 109, 119, 128	IV-E Administrative Funds, TEA, TANF Transferred to SSBG, Permanency Planning/FFK, SSBG, IV-E Waiver*, Child Welfare MOE, Federal Adoption Incentive Fund*	PCM CFSR CPR	Annually	Attached
LINKS Services (Independent Living)	109, 132, 133, 134, 135, 136	Foster Care Independent Living Program (Chafee), TEA, SSBG, Permanency Planning/FFK, IV-E Admin, IV-E Waiver*	PCM Independent Living Consultant	Annually	Attached
Adoption Assistance Payments	N/A	IV-B, IV-E, Special Children Adoption Incentive Fund, State Adoption Fund Program	PCM	Annually	Attached

Programs	Service Codes, if Applicable.	Funding Source(s)	Responsible Monitor	Schedule of Monitoring	Review Tool Status
Adoption Services	005, 009, 010, 012, 013, 016, 019, 028	IV-E Administrative Activities, TEA, TANF transferred to SSBG, SSBG, Permanency Planning/FFK, IV-E Waiver*, Child Welfare MOE, Federal Adoption Incentive Fund*	PCM CFSR CPR	Annually or according to funds applied for	Attached

* Only used in applicable counties

Subrecipients to be Monitored

100 county Departments of Social Services (see list of county DSS agencies)

All Child Welfare contracts identified as “financial assistance contracts (see list of contracts)

Monitoring Staff

Two full time positions (Program Compliance Monitors) have been identified in the Family Support and Child Welfare Services Section to conduct the monitoring for the majority of child welfare programs. In addition, a third position (Office Assistant V) has been identified to support the maintenance of the information in the DHHS monitoring database.

The Program Compliance Monitors are responsible for monitoring IV-E eligibility determination and re-determination for IV-E maintenance payments. The Children’s Program Representatives and the Child and Family Services Reviewers capture the program compliance issues for CPS Intake and Investigative Assessment and some areas related to Case Planning and Case Management, Foster Care and Adoptions. Although the Child and Family Services Reviews are conducted on a biennial schedule, the Children’s Program Representatives are routinely scheduling site visits in each county to monitor program compliance and follow up on any findings from previous reviews. The Children’s Program Representatives and CFSR reviewers will continue to provide the monitoring of these program areas.

Contracts are monitored by the contract administrators. A formal monitoring process and instrument is used for contracts with Intensive Family Preservation Programs, Family Support/Family Resource Centers, Child Welfare Collaborative, and Performance-based Adoption Services contracts, and will continue to be utilized. For the other contracts to be monitored, a standardized tool has been developed for use. Results from the contract monitoring instruments will be used for entering into the DHHS monitoring database.

Monitoring Tools

Standardized monitoring tools and instructions have been developed to monitor the individual program areas and related funding sources based on the existing Audit Compliance Supplements and/or contract requirements. The monitoring tools and the compliance supplements are based on applicable laws and regulations that govern each of the funding sources being monitored. The specific monitoring tools and instructions are attached to this document.

Monitoring Schedule: Monitoring visits are made to all 100 counties on an annual basis using a rotating schedule.

Exceptions:

- Monitoring for CPS Intake and Investigative Services and additional monitoring of Case Planning and Case Management, Foster Care and Adoptions will occur through the CFSR process and through onsite visits by Children's Programs Representatives. The schedule is ongoing for the biennial review process, with 50 counties being reviewed every other year which means that all 100 counties are reviewed biennially. Program Improvement Plans are in place and being monitored by the CPR's for counties that were not in substantial conformity during CFSRs completed within the previous biennial cycle and the current and on going biennial process.
- **Special Children Adoption Incentive Fund Program**
Division staff determines eligibility for SCAIF on a case by case basis based on documentation of child's special needs submitted by departments of social services. After a child has been approved for benefits from the Fund and the Decree of Adoption has been issued, Division staff will submit requests to the Controller's Office for monthly payments to be made directly to the adoptive family. Payment begins the month following finalization of the adoption and continues until notification is given by the department of social services to terminate benefits or the child reaches his eighteenth birthday.
- **Special Children Adoption Fund Program**
Division staff provides opportunities for ongoing technical assistance and support to help subrecipient partners reach project goals. An individual monitoring schedule is developed for each agency participating in the Special Children Adoption Fund Program that includes the following activities:

Desk Monitoring – staff reviews copies of monthly reimbursement request (*DSS-1571, part IV*) to ensure complete and accurate documentation regarding client eligibility, appropriate payment level for activity and compliance with all program requirements.

Annual Onsite Reviews – staff selects a sample of cases to be read on visit to ensure case documentation reflects services for which reimbursements have been requested and compliance with all applicable laws and program requirements. Opportunities are provided for discussion of deliverables and problem issues.

- The State Maternity Home Fund is not allocated to subrecipients. It is a payment made directly to providers based on the admission of eligible individuals to their facilities. Each application for care paid for by the State Maternity Home is reviewed, approved, and monitored annually, contingent upon the availability of funding, by the Program Consultant in the Foster Care/Adoptions Policy Team of the Family Support and Child Welfare Services Section. All State Maternity Home Fund applications are reviewed and approved by this Program Consultant prior to the authorization of funds. An individual is eligible for care paid for by the State Maternity Home Fund for up to six months or 183 days. If a client is eligible, TANF funding can cover the first four months or 120 days of the 183 day total. The Program Consultant authorizes the period of eligibility (beginning and ending dates) for an individual and notifies the DHHS Controller's Office to encumber funds for the specified number of days of care. The Program Consultant reviews and approves individual invoices from each Maternity Care Facility, after monthly residential care is provided, and notifies the DHHS Controller's Office to process payments. In the event that care is no longer necessary prior to the end of the authorization period, the provider notifies the Program Consultant who in turn notifies the Controller's Office to terminate the ongoing authorization and unencumber the funding. No sample is necessary since one hundred percent of the caseload is reviewed, approved, and monitored each year.

- **LINKS**

Distribution of LINKS Allocations:

LINKS allocations are provided to every county in NC based on the number and ages of LINKS eligible youth and young adults who are in foster care in each county. Funds are provided on a per capita basis. The formula for allocations is based on a computer generated database of teenaged children in custody and a separate report of young adults who aged out of care.

Monitoring of Spending of County Allocations:

Copies of the XS 414 are sent to the LINKS Coordinator monthly, which reflect the spending rate of each county. At least once per year counties that are significantly underspending are advised of the fact, and Local Business Liaisons are also informed. All LBL's have been trained about the LINKS program and allowable expenditures and have the opportunity to advise counties as a part of their duties.

LINKS Special Funds:

LINKS Special Funds comprise a portion of the Chafee grant, approximately \$500,000, and are handled through the LINKS Coordinator. These funds are used to directly reimburse counties for expenditures made on behalf of eligible youth. Eligibility is verified by the county and spot-checked by the State Coordinator using the state network. Requests for reimbursement are submitted by the State LINKS coordinator to the Controller's office monthly. All requests for reimbursement are kept in paper copy for three years as well as in an Excel database. Eligibility information is maintained in an Access Database. All requests are checked for allowability prior to reimbursement to the counties.

Education Training Vouchers:

The Education Training Voucher program is funded separately under the Chafee Foster Care Independence Act which was implemented October, 2003. The program provides up to \$5000 per year for LINKS-eligible students who

- exited foster care after the age of 17 or were adopted from foster care after age 16, and
- who have completed high school or their GED and
- who are accepted for enrollment in or attending a qualifying postsecondary educational or vocational program.

North Carolina contracts with the Orphan Foundation of America, a national scholarship organization that focuses on the continuing educational needs of foster youth. OFA administers the entire ETV grant which is in excess of \$850,000 per year. OFA has an independent auditor for its administration of this grant as well as those of seven other states. The LINKS coordinator has frequent contact with OFA and has at least one site visit annually at the OFA office in Virginia. The contract is set up on a cost reimbursement basis. The state matches the federal ETV funds with allowable in kind match, to wit the amount of state dollars paid to support placements for young adults who remain in care after age 18.

Contracts:

Chafee Funds are used to provide mentoring services to students in the ETV program under contract with OFA. Chafee Funds are also used to fund the majority of the contract with Independent Living Resources, Inc. of Durham, which provides administrative support to the state's youth advocacy organization (SAYSO) and which organizes and provides youth development activities across the state. Other federal funds are included in the ILR contract to provide training to foster parents, social workers, and other staff that work with the LINKS program. Both Chafee-funded contracts are monitored by the LINKS coordinator.

- Monitoring of IV-E eligibility determination and re-determination of IV-E foster care maintenance payments have been conducted by the PCMs since March 2004. The monitoring plan and related instrument mirror the federal monitoring process with the state.
- The monitoring of all applicable contracts occurs annually at a minimum. Contract administrators receive monthly invoices from the providers. Those invoices are reviewed against the contract documents for programmatic and budget compliance prior to approving payment through the DHHS Controller's Office. Formal monitoring instruments have been developed that the contract administrator completes and submits to the Office Assistant responsible for entering in the DHHS monitoring data base.

Sample Size:

County Departments of Social Services (governmental subrecipients) are divided into three levels based on the size of the agency. These are standardized levels across the Division of Social Services; have been in place for a number of years; and are used by other Sections in the Division for monitoring and reporting purposes. The county levels for the 100 DSS subrecipients are included with this monitoring plan. Effective July 1, 2006, the Division reduced the number of County Departments of Social Services to be monitored annually for Social Services Block Grant (SSBG) funding by the Child Welfare Section Monitors to 25 DSS subrecipients. This was implemented to mirror the sample size in place being used by the Division of Aging and Adult Services (DAAS) for monitoring adult and other general services funded with SSBG as well as to bring about consistency in the SSBG monitoring process.

To ensure a consistent sample for each county in monitoring services provided, a random sample of cases reported by the county via the Day Sheets in the Services Information System (SIS) for each of the service areas based on services codes will be selected with a mixture of the different allowable funding streams (program codes). The number of cases per program area (CPS Case Planning and Case Management, Foster Care, and Adoption) to be reviewed is listed below. The sample query will be scheduled in advance in order to notify the counties of the cases to be pulled for review. The sample will be pulled from a six month period that ends three months prior to the notice to the county of the monitoring activity. The sample will be pulled from the services reported as having been provided using the identified funding sources that were used for that particular service. If existing protocol calls for a different sampling period or method, the existing protocol will be used.

Level I Counties	Level II Counties	Level III Counties
10 Cases	15 Cases	20 Cases

Sample sizes for CPS Intake and Investigative Assessment services are also based on Level classifications of the counties through the CFSR process. Intake cases that were not accepted for Investigative/Family Assessments are pulled randomly on site by the CFSR reviewers from the county's Intake log or file. The sample sizes for these "screened out" reports are as follows:

Level I Counties	Level II Counties	Level III Counties
8 Cases	12 Cases	20 Cases

Investigative/Family Assessment cases that were either unsubstantiated, substantiated and closed without services, services provided and protective services no longer needed or services not needed are pulled from the DSS CPS log prior to the CFSR. The sample sizes for these cases are as follows:

Level I Counties	Level II Counties	Level III Counties
4 Cases	5 Cases	6 Cases

Additional Investigative/Family Assessments are reviewed as part of the CFSR depending on whether the Investigative/Family Assessments occurred during the period under review for Case Planning and Case Management and Placement cases selected for the CFSR process. The review instrument for Investigative/Family Assessments also captures the appropriateness of the intake process as well as the Investigative/Family Assessment process.

Monitoring of IV-E eligibility determination and re-determination of IV-E foster care maintenance payments has been ongoing since SFY 00-01. The protocol, which has been accepted by the State Auditor's Office, calls for a review of at least 5 cases per county once a year. These cases are selected randomly from the Child Placement and Payment System, and cases reviewed per county vary as per the size of the county. In addition to this formal monitoring process, the CPR routinely pull records from their assigned counties during scheduled site visits and assess the county's eligibility determination process.

In May 2006, the North Carolina Department of Health and Human Services, Division of Social Services implemented a protocol for recouping County Responsible Overpayments for applicable cases found to be ineligible for IV-E funding during the Child Welfare Program monitoring process. The Child Welfare Program Compliance Monitors completing the onsite monitoring process will be responsible for sharing monitoring results with the County Department of Social Services, the assigned Children's Programs Representative (CPR) and the Local Business Liaison (LBL) after completing the on-site monitoring process. If errors are discovered, the CPR and the county's LBL will assist the county in determining whether there is a County Responsible Overpayment and the effective date of the overpayment. The CPR is then responsible for communicating that amount via e-mail to the Financial Resource Coordinator, the Division and the Compliance Monitor. The amount of the County Responsible Overpayment, if any, must be determined and notification of that amount transmitted to the Division's Financial Resource Coordinator within 30 days of receipt of the letter from the Child Welfare Compliance Monitor regarding the onsite monitoring results. The Financial Resource Coordinator will make the adjustment and notify the DHHS Controller's Office to deduct the payment and post corrections to the Child Placement and Payment System.

In all categories, an oversample should be drawn in order to have potential substitutes in the event that a case pulled for monitoring is found not applicable. Other programs that are not direct services or maintenance payments will have samples determined by the management and staff of the Family Support and Child Welfare Section based on the terms of those programs.

Process of Review & Corrective Action:

Counties will be notified via letter in advance of the sample of cases that they must pull for the review. They will be instructed to pull all verifications necessary to confirm compliance with the funding criteria and the program being monitored. Depending on the complexity of the programs and the volume of documentation to be reviewed, a determination will be made as to whether the monitoring will be conducted by a site visit or by a desk review. Initially, site visits are preferable in order to facilitate a partnership with the county staff and generate discussion regarding the process, expectations, and potential outcomes of the monitoring. Also, for the same reasons, site visits are preferable for monitoring of contract agencies, although desk reviews are allowable in some cases.

The PCM, CFSR reviewer, Children's Programs Representative or contract administrator will review necessary documents and conduct any necessary interviews with subrecipient staff, in order to complete the appropriate standardized review instrument according to instructions provided. The results of the monitoring process will be documented in a written report for the subrecipient that identifies all strengths that were noted and any areas needing improvement or out of compliance for the particular funding source and program area. These written reports will be provided to the subrecipient (county DSS or contract provider) within 30 days of the monitoring activity and will include any instructions required for corrective action. The county DSS is allowed to request

an appeal within 30 days from the date of the letter or written report to the county with the results of the onsite monitoring process.

If a substantial non-compliance issue is found, the county will develop a corrective action plan within 30 days and forward that plan to the PCM responsible for that review. The PCM will work in conjunction with the CPR and Local Business Liaison in order to alleviate the areas of non-compliance. In the case of substantial non-compliance, the subrecipient will move into a “high” risk category (after the initial baseline) and will be reviewed at least yearly in the case of county DSS agencies and at least quarterly in the case of contract providers, until compliance is evident. Sample sizes may also be adjusted for counties that are not found in substantial compliance. The CPR will work closely with the county to resolve any finding and document their efforts in their quarterly report to the Division. Continued lack of compliance for a contract provider may result in termination or lack of renewal of the contract itself.

Substantial compliance for all services and maintenance payment cases is determined to be when at least 95% of the cases are found to have no errors. For CPS Intake – reports that are screened out, the standard is when no more than one report is rated as in need of improvement in a Level I county and no more than two reports rated as in need of improvement in a Level II or Level III county. For contract providers, the terms of the contract should determine what defines substantial compliance.

Risk Assessment for Subrecipients

Subrecipients will be categorized as low, medium, or high risk based on results from:

- The data collected from previous monitoring activities
- Findings from the single county audit
- Findings and follow-up from any previous deficiencies and/or corrective action or Program Improvement Plans
- Complexity of the program and/or eligibility criteria
- Analysis of relevant evaluation data
- Prior experience with the subrecipient by Division staff (CPR’s, LBL’s, Section consultants, contract administrators, etc.)
- Past experience with paybacks
- Evaluation of the “Subrecipient Self-Assessment of Internal Controls and Risks” completed annually by county Departments of Social Services
- Any other self assessment provided by the county or contract provider
- Any other relevant factors identified by the PCR

The information from the above sources will be used to complete the “Risk Evaluation Matrix” by the Child Welfare PCM. Based on the determination of risk, a schedule will be developed for more comprehensive monitoring for subrecipients determined to be high-risk while they remain high-risk. Increased frequency of on-site monitoring visits or desk reviews, corrective action plans and progress reports, and/or expanded sample sizes will be used to conduct more comprehensive monitoring for high-risk subrecipients. Low and medium risk subrecipients will be monitored at least once every three years according to an established schedule once baseline data is collected, unless other requirements for frequency take precedence.

Subrecipients will be notified in writing by the PCR regarding the status of risk of their programs following the procedures outlined in Part I., Sections A. and B. of the Division of Social Services Monitoring Plan.

Maintenance of Monitoring Documentation

Monitoring tools, relevant verification information, compliance findings, corrective action plans, initial and follow-up correspondence will be maintained in the Family Support and Child Welfare Section, Albemarle

Building, 325 N. Salisbury Street, Raleigh, NC. Once the formal report of results from the monitoring are officially released, all case specific documents copied from county records will be shredded. Otherwise, records will be maintained according to the North Carolina Records Retention Policy. Required information from all child welfare monitoring activities will be entered into the DHHS monitoring data base by the Office Assistant position. Monitoring data is periodically entered into the data base after all county appeals are resolved. The year end report is completed after all county monitoring documentation has been entered in the data base after the close of the fiscal year.

CHILD WELFARE MONITORING

COUNTY LEVEL I

Alexander	Gates	Pamlico
Alleghany	Graham	Pasquotank
Anson	Granville	Pender
Ashe	Greene	Perquimans
Avery	Hertford	Person
Bertie	Hoke	Polk
Bladen	Hyde	Richmond
Camden	Jackson	Stanly
Caswell	Jones	Stokes
Chatham	Lee	Swain
Cherokee	Macon	Transylvania
Chowan	Madison	Tyrrell
Clay	Martin	Warren
Currituck	McDowell	Washington
Dare	Mitchell	Watauga
Davie	Montgomery	Yadkin
Franklin	Northhampton	Yancey

COUNTY LEVEL II

Alamance	Halifax	Randolph
Beaufort	Harnett	Robeson
Brunswick	Haywood	Rockingham
Burke	Henderson	Rowan
Cabarrus	Iredell	Rutherford
Caldwell	Johnston	Sampson
Carteret	Lenoir	Scotland
Cleveland	Lincoln	Surry
Columbus	Moore	Union
Craven	Nash	Vance
Davidson	Onslow	Wayne
Duplin	Orange	Wilkes
Edgecombe	Pitt	Wilson

COUNTY LEVEL III

Buncombe	Durham	Guilford
Catawba	Forsyth	Mecklenburg
Cumberland	Gaston	New Hanover
	Wake	

CHILD WELFARE CONTRACTS TO BE MONITORED

Provider Name	Program Name	Contract ID #
Albemarle Hopeline, Inc	Promoting Safe and Stable Families	00614-06
Alleghany Partnership for Children	Promoting Safe and Stable Families	01099-06
Alliance for Children & Youth Inc	Promoting Safe and Stable Families	00820-05
Another Choice for Black Children	Promoting Safe and Stable Families	00780-06
Anson County Domestic Violence Coalition	Promoting Safe and Stable Families	00418-06
Anson High School	Promoting Safe and Stable Families	00339-05
Appalachian State University Social Work Program	Promoting Safe and Stable Families	00750-06
Appalachian State University Social Work Program	Promoting Safe and Stable Families	00761-06
Appalachian State University Social Work Program	Promoting Safe and Stable Families	00772-06
Ashe Partnership for Children	Promoting Safe and Stable Families	00450-06
Association of Domestic Violence Outreach Stores	Promoting Safe and Stable Families	00190-06
Bertie County Schools	Promoting Safe and Stable Families	00112-06
Bertie County Schools	Promoting Safe and Stable Families	00987-06
Bertie County Schools	Promoting Safe and Stable Families	01111-06
Bertie, Martin & Washington Community Develop. Corp	Promoting Safe and Stable Families	00541-05
Bladen County Schools	Promoting Safe and Stable Families	00518-05
Bladen Family Support Initiative	Promoting Safe and Stable Families	00178-06
Burke County Public Schools	Promoting Safe and Stable Families	00693-06
Cabarrus Victims Assistance Network	Promoting Safe and Stable Families	00607-06
Caring for Children, Inc.	Promoting Safe and Stable Families	00435-06
Carteret Co. Domestic Violence Prog., Inc.	Promoting Safe and Stable Families	00603-06
Caswell County Parish Inc	Promoting Safe and Stable Families	00205-06
Catawba County Hispanic Ministry	Promoting Safe and Stable Families	00367-05
Chapel Hill Training Outreach Project Inc	Promoting Safe and Stable Families	00943-06
Chapel Hill Training Outreach Project Inc	Promoting Safe and Stable Families	00383-05
Chapel Hill Training Outreach Project Inc	Promoting Safe and Stable Families	00320-05
Cherokee Boys Club, Inc	Promoting Safe and Stable Families	00037-06
Cherokee County Schools	Promoting Safe and Stable Families	00507-05
Children First Buncombe County Inc	Promoting Safe and Stable Families	00827-06
Children's Home Society of NC, Inc.	Promoting Safe and Stable Families	00762-06
Childrens' Village Academy	Promoting Safe and Stable Families	00634-05
Choanoke Area Development Association Inc	Promoting Safe and Stable Families	00463-06
Choanoke Area Development Association Inc	Promoting Safe and Stable Families	00764-06
Choanoke Area Development Association Inc	Promoting Safe and Stable Families	00878-06
Citizens Against Domestic Violence	Promoting Safe and Stable Families	00368-06
Cleveland County Abuse Prevention Center, Inc.	Promoting Safe and Stable Families	00604-06
Coastal Women's Shelter	Promoting Safe and Stable Families	00709-06
Columbus County DREAM Center	Promoting Safe and Stable Families	00035-06
Columbus County DREAM Center	Promoting Safe and Stable Families	00342-05
Communities in Schools of Brunswick County Inc	Promoting Safe and Stable Families	01116-06
Communities in Schools of Brunswick County Inc	Promoting Safe and Stable Families	00815-05
Communities In Schools of Cleveland County	Promoting Safe and Stable Families	00318-05
Communities In Schools of Cleveland County	Promoting Safe and Stable Families	00635-05
Community LINK Programs of Travelers Aid	Promoting Safe and Stable Families	00796-06
Community LINK Programs of Travelers Aid	Promoting Safe and Stable Families	00728-06

Provider Name	Program Name	Contract ID #
Crisis Council Inc	Promoting Safe and Stable Families	00843-06
Davie Domestic Violence Services Rape Crisis/Davie Cty	Promoting Safe and Stable Families	00225-06
DayMark Recovery Services Inc	Promoting Safe and Stable Families	00117-06
Diakonos Inc- DBA Fifth Street Ministries	Promoting Safe and Stable Families	00172-06
Domestic Violence & Rape Crisis Ctr of Scotland County	Promoting Safe and Stable Families	00999-06
Domestic Violence Resource Center of Alexander County	Promoting Safe and Stable Families	00687-06
Domestic Violence Shelter and Service, Inc.	Promoting Safe and Stable Families	00680-06
Down East Partnership for Children Inc	Promoting Safe and Stable Families	00717-06
Down East Partnership for Children Inc	Promoting Safe and Stable Families	01120-06
Durham Crisis Response Center	Promoting Safe and Stable Families	00620-06
East Carolina Community Development Inc	Promoting Safe and Stable Families	00130-06
Exchange Club Child Abuse Prevention Center of NC, Inc.	Promoting Safe and Stable Families	00786-06
Exchange Club Child Abuse Prevention Center of NC, Inc.	Promoting Safe and Stable Families	00797-06
Exchange Club Child Abuse Prevention Center of NC, Inc.	Promoting Safe and Stable Families	00432-06
Exchange Club Child Abuse Prevention Center of NC, Inc.	Promoting Safe and Stable Families	00511-06
Faith in Action Institute/DBA Faith Action Internationl House	Promoting Safe and Stable Families	00713-06
Families First, Inc.	Promoting Safe and Stable Families	00979-06
Families Living Violence Free	Promoting Safe and Stable Families	00257-06
Family Abuse Services of Alamance County Inc	Promoting Safe and Stable Families	00711-06
Family Resource Center of Raleigh Inc	Promoting Safe and Stable Families	00440-05
Family Resource Center of Raleigh Inc	Promoting Safe and Stable Families	00440-06
Family Resource Center of Raleigh Inc	Promoting Safe and Stable Families	00459-05
Family Resource Center of Raleigh Inc	Promoting Safe and Stable Families	00459-06
Family Resource Center of Raleigh Inc	Promoting Safe and Stable Families	00465-05
Family Resource Center of Raleigh Inc	Promoting Safe and Stable Families	00465-06
Family Resources of Cherokee County	Promoting Safe and Stable Families	00743-06
Family Service Davidson County, Inc.	Promoting Safe and Stable Families	00414-05
Family Service Davidson County, Inc.	Promoting Safe and Stable Families	00844-06
Family Services McDowell County Inc	Promoting Safe and Stable Families	01008-06
Family Services of the Lower Cape Fear	Promoting Safe and Stable Families	00557-05
Family Services of the Piedmont, Inc.	Promoting Safe and Stable Families	00462-06
Family Services of the Piedmont, Inc.	Promoting Safe and Stable Families	00505-06
Family Services of the Piedmont, Inc.	Promoting Safe and Stable Families	00751-06
Family Services of the Piedmont, Inc.	Promoting Safe and Stable Families	00623-06
Family Services, Inc.	Promoting Safe and Stable Families	00986-06
Family Violence and Rape Crisis Services	Promoting Safe and Stable Families	00621-06
Family Violence Prevention Center of Orange County	Promoting Safe and Stable Families	00702-06
Family Violence Prevention Center/DBA Interact	Promoting Safe and Stable Families	00847-06
Family Violence Program, Inc. of Pitt County	Promoting Safe and Stable Families	00624-06
Franklin, Vance & Warren Opportunity Inc	Promoting Safe and Stable Families	01098-06
Friend to Friend	Promoting Safe and Stable Families	00846-06
Gaston County DSS	Promoting Safe and Stable Families	00042-06
Graham County Schools	Promoting Safe and Stable Families	00759-06
Graham County Schools	Promoting Safe and Stable Families	00532-05
Hannah's Place Inc	Promoting Safe and Stable Families	00416-06

Provider Name	Program Name	Contract ID #
Haven in Lee County, Inc.	Promoting Safe and Stable Families	00679-06
HeartWorks Family Unity & Nurturing Program	Promoting Safe and Stable Families	00330-05
Help, Inc. Center Against Violence	Promoting Safe and Stable Families	00602-06
Helpmate, Inc	Promoting Safe and Stable Families	00611-06
Highland Family Resource Center	Promoting Safe and Stable Families	01126-06
Hoke County Youth & Family Services Inc	Promoting Safe and Stable Families	00703-06
Hope for Families, Domestic Violence & Sexual Assault Ctr Inc	Promoting Safe and Stable Families	00123-06
Hope Harbor Home, Inc.	Promoting Safe and Stable Families	00615-06
HUG, Inc	Promoting Safe and Stable Families	00188-06
HUG, Inc	Promoting Safe and Stable Families	00551-06
Hyde County Schools	Promoting Safe and Stable Families	00468-05
Hyde County Schools	Promoting Safe and Stable Families	00524-05
Latin American Resource Center	Promoting Safe and Stable Families	00400-05
Laurinburg Housing Authority	Promoting Safe and Stable Families	00783-06
Legal Aid of North Carolina Inc	Promoting Safe and Stable Families	00806-06
Lighthouse of Wayne County, Inc.	Promoting Safe and Stable Families	00681-06
Lincoln Co. Coalition Against Domestic Violence	Promoting Safe and Stable Families	00420-06
Mainstay, Inc.	Promoting Safe and Stable Families	00619-06
Martin County Community Action, Inc.	Promoting Safe and Stable Families	00791-06
Martin County Community Action, Inc.	Promoting Safe and Stable Families	00799-06
Martin County Community Action, Inc.	Promoting Safe and Stable Families	00345-05
Martin County Community Action, Inc.	Promoting Safe and Stable Families	00622-06
Martin County Community Action, Inc.	Promoting Safe and Stable Families	00855-06
Martin County Community Action, Inc.	Promoting Safe and Stable Families	01118-06
Martin Tyrrell Washington District Health Department	Promoting Safe and Stable Families	01127-06
Martin Tyrrell Washington District Health Department	Promoting Safe and Stable Families	01128-06
McPals-The Endowment Fund of the Public Schools of McDowell County NC	Promoting Safe and Stable Families	01097-06
McPals-The Endowment Fund of the Public Schools of McDowell County NC	Promoting Safe and Stable Families	00323-05
Methodist Home for Children Inc	Promoting Safe and Stable Families	00327-06
Methodist Home for Children Inc	Promoting Safe and Stable Families	00516-06
Methodist Home for Children Inc	Promoting Safe and Stable Families	00517-06
Methodist Home for Children Inc	Promoting Safe and Stable Families	00851-06
Methodist Home for Children Inc	Promoting Safe and Stable Families	00875-06
Methodist Home for Children Inc	Promoting Safe and Stable Families	00991-06
Mitchell County SafePlace, Inc.	Promoting Safe and Stable Families	00053-06
Mountain Youth Resources Inc	Promoting Safe and Stable Families	00422-06
Mountain Youth Resources Inc	Promoting Safe and Stable Families	00461-06
Mountain Youth Resources Inc	Promoting Safe and Stable Families	00707-06
Mountain Youth Resources Inc	Promoting Safe and Stable Families	00740-06
Mountain Youth Resources Inc	Promoting Safe and Stable Families	00850-06
Mountain Youth Resources Inc	Promoting Safe and Stable Families	00853-06
My Sister's Home Inc	Promoting Safe and Stable Families	00848-06
My Sister's Place Inc	Promoting Safe and Stable Families	00046-06

Provider Name	Program Name	Contract ID #
NC Cooperative Extension Service - Person County	Promoting Safe and Stable Families	00550-06
NC Dept of Labor	Promoting Safe and Stable Families	00025-07
Northern Moore Family Resource Center Inc	Promoting Safe and Stable Families	01107-06
Oasis Inc	Promoting Safe and Stable Families	00605-06
Ocracoke Civic & Business Association Inc	Promoting Safe and Stable Families	00223-06
Onslow Women's Center, Inc.	Promoting Safe and Stable Families	00682-06
Options Inc	Promoting Safe and Stable Families	00676-06
Options to Domestic Violence and Sexual Assault, Inc.	Promoting Safe and Stable Families	00599-06
Outer Banks Hotline Inc	Promoting Safe and Stable Families	00419-06
Partnership for the Future of Bryson City	Promoting Safe and Stable Families	00399-05
Pitt County -DSS	Promoting Safe and Stable Families	00982-06
Positive Attitude Youth Center	Promoting Safe and Stable Families	00823-05
Rainbow Center, Inc	Promoting Safe and Stable Families	00514-06
Rainbow Center, Inc	Promoting Safe and Stable Families	00559-06
Rape Child and Family Abuse Crisis Salisbury Rowan	Promoting Safe and Stable Families	00883-06
REACH of Clay County	Promoting Safe and Stable Families	00809-06
Reach of Haywood County, Inc.	Promoting Safe and Stable Families	00882-06
REACH of Jackson County Inc	Promoting Safe and Stable Families	00683-06
REACH of Macon County, Inc.	Promoting Safe and Stable Families	00612-06
Roanoke Chowan SAFE	Promoting Safe and Stable Families	00423-06
Robeson County Dept of Health	Promoting Safe and Stable Families	00036-06
S.A.F.E. In Lenior County, Inc.	Promoting Safe and Stable Families	00874-06
Safe Haven of Pender, Inc.	Promoting Safe and Stable Families	00849-06
Safe Haven of Person County, Inc.	Promoting Safe and Stable Families	00601-06
SAFE of Harnett Co. Inc.	Promoting Safe and Stable Families	00793-06
Safe Space, Inc.	Promoting Safe and Stable Families	00944-06
SAFE, Inc. of Transylvania	Promoting Safe and Stable Families	00226-06
SAFE, Inc. of Wilkes Co.	Promoting Safe and Stable Families	00513-06
Shelter Home of Caldwell County Inc	Promoting Safe and Stable Families	00678-06
Southeastern Family Violence Center	Promoting Safe and Stable Families	00755-06
Southwestern Child Development Commission Inc	Promoting Safe and Stable Families	00061-06
Southwestern Child Development Commission Inc	Promoting Safe and Stable Families	00437-06
Southwestern Child Development Commission Inc	Promoting Safe and Stable Families	00571-06
Steps to Hope Inc	Promoting Safe and Stable Families	00088-06
Swain County Government	Promoting Safe and Stable Families	00758-06
Swain County SAFE Inc dba-Swain/Qualla SAFE, Inc.	Promoting Safe and Stable Families	00700-06
Task Force of Family Violence REACH	Promoting Safe and Stable Families	00606-06
Teaching Academics for Life I Outreach Ministries Inc	Promoting Safe and Stable Families	00407-05
Teen Health Inc	Promoting Safe and Stable Families	00633-05
The Chapel of Christ the King	Promoting Safe and Stable Families	00647-05
The Family Place of Transylvania County	Promoting Safe and Stable Families	01104-06
The Family Violence Coalition of Yancey County, Inc.	Promoting Safe and Stable Families	00984-06
The Women's Center	Promoting Safe and Stable Families	00641-05
Town of Maxton	Promoting Safe and Stable Families	00397-05
Turning Point of Union, Inc.	Promoting Safe and Stable Families	00816-06
UCARE, Inc.	Promoting Safe and Stable Families	00985-06

Provider Name	Program Name	Contract ID #
UNC-CH	Promoting Safe and Stable Families	00126-06
United Hmong Association	Promoting Safe and Stable Families	00341-05
Warren Family Institute Inc	Promoting Safe and Stable Families	01123-06
Wayne Action Group for Economic Solvency Inc	Promoting Safe and Stable Families	01122-06
Wayne Uplift Resource Association, Inc.	Promoting Safe and Stable Families	00552-05
Wesley Shelter Inc	Promoting Safe and Stable Families	00051-06
Winston-Salem State University	Promoting Safe and Stable Families	00695-06
Womenfolk Unlimited	Promoting Safe and Stable Families	00613-06
Youth Focus Inc	Promoting Safe and Stable Families	00782-06
Youth Homes, Inc.	Promoting Safe and Stable Families	00515-06
Youth Opportunities Inc	Promoting Safe and Stable Families	00994-06
Albemarle Hopeline, Inc	Family Violence Prevention	00614-06
Anson County Domestic Violence Coalition	Family Violence Prevention	00418-06
Ashe Partnership for Children	Family Violence Prevention	00450-06
Association of Domestic Violence Outreach Stores	Family Violence Prevention	00190-06
Cabarrus Victims Assistance Network	Family Violence Prevention	00607-06
Carteret Co. Domestic Violence Prog., Inc.	Family Violence Prevention	00603-06
Caswell County Parish Inc	Family Violence Prevention	00205-06
Citizens Against Domestic Violence	Family Violence Prevention	00368-06
Cleveland County Abuse Prevention Center, Inc.	Family Violence Prevention	00604-06
Coastal Women's Shelter	Family Violence Prevention	00709-06
Crisis Council Inc	Family Violence Prevention	00843-06
Cumberland County DSS	Family Violence Prevention	00135-06
Davie Domestic Violence Services Rape Crisis/Davie Cty	Family Violence Prevention	00225-06
Diakonos Inc- DBA Fifth Street Ministries	Family Violence Prevention	00172-06
Domestic Violence & Rape Crisis Ctr of Scotland County	Family Violence Prevention	00999-06
Domestic Violence Resource Center of Alexander County	Family Violence Prevention	00687-06
Domestic Violence Shelter and Service, Inc.	Family Violence Prevention	00680-06
Durham Crisis Response Center	Family Violence Prevention	00620-06
Faith in Action Institute/DBA Faith Action Inter.House	Family Violence Prevention	00713-06
Families First, Inc.	Family Violence Prevention	00979-06
Families Living Violence Free	Family Violence Prevention	00257-06
Family Abuse Services of Alamance County Inc	Family Violence Prevention	00711-06
Family Guidance Center, Inc.	Family Violence Prevention	00203-06
Family Service Davidson County, Inc.	Family Violence Prevention	00844-06
Family Services McDowell County Inc	Family Violence Prevention	01008-06
Family Services of the Piedmont, Inc.	Family Violence Prevention	00623-06
Family Services, Inc.	Family Violence Prevention	00986-06
Family Violence and Rape Crisis Services	Family Violence Prevention	00621-06
Family Violence Prevention Center of Orange County	Family Violence Prevention	00702-06
Family Violence Prevention Center/DBA Interact	Family Violence Prevention	00847-06

Provider Name	Program Name	Contract ID #
Family Violence Program, Inc. of Pitt County	Family Violence Prevention	00624-06
Friend to Friend	Family Violence Prevention	00846-06
Gaston County DSS	Family Violence Prevention	00042-06
Hannah's Place Inc	Family Violence Prevention	00416-06
Harbor Inc	Family Violence Prevention	00845-06
Haven in Lee County, Inc.	Family Violence Prevention	00679-06
Help, Inc. Center Against Violence	Family Violence Prevention	00602-06
Helpmate, Inc	Family Violence Prevention	00611-06
Hoke County Youth & Family Services Inc	Family Violence Prevention	00703-06
Hope for Families, Domestic Violence & Sexual Assault Ctr Inc	Family Violence Prevention	00123-06
Hope Harbor Home, Inc.	Family Violence Prevention	00615-06
Legal Aid of North Carolina Inc	Family Violence Prevention	00806-06
Lighthouse of Wayne County, Inc.	Family Violence Prevention	00681-06
Lincoln Co. Coalition Against Domestic Violence	Family Violence Prevention	00420-06
Mainstay, Inc.	Family Violence Prevention	00619-06
Mitchell County SafePlace, Inc.	Family Violence Prevention	00053-06
My Sister's Home Inc	Family Violence Prevention	00848-06
My Sister's Place Inc	Family Violence Prevention	00046-06
Oasis Inc	Family Violence Prevention	00605-06
Onslow Women's Center, Inc.	Family Violence Prevention	00682-06
Options Inc	Family Violence Prevention	00676-06
Options to Domestic Violence and Sexual Assault, Inc.	Family Violence Prevention	00599-06
Outer Banks Hotline Inc	Family Violence Prevention	00419-06
Pisgah Legal Services	Family Violence Prevention	00412-06
Pitt County	Family Violence Prevention	00982-06
Rape Child and Family Abuse Crisis Salisbury Rowan	Family Violence Prevention	00883-06
REACH of Clay County	Family Violence Prevention	00809-06
Reach of Haywood County, Inc.	Family Violence Prevention	00882-06
REACH of Jackson County Inc	Family Violence Prevention	00683-06
REACH of Macon County, Inc.	Family Violence Prevention	00612-06
Roanoke Chowan SAFE	Family Violence Prevention	00423-06
S.A.F.E. In Lenior County, Inc.	Family Violence Prevention	00874-06
Safe Haven of Pender, Inc.	Family Violence Prevention	00849-06
Safe Haven of Person County, Inc.	Family Violence Prevention	00601-06
SAFE of Harnett Co. Inc.	Family Violence Prevention	00793-06
Safe Space, Inc.	Family Violence Prevention	00944-06
SAFE, Inc. of Transylvania	Family Violence Prevention	00226-06
SAFE, Inc. of Wilkes Co.	Family Violence Prevention	00513-06
Sarah's Refuge Inc	Family Violence Prevention	00885-06
Shelter Home of Caldwell County Inc	Family Violence Prevention	00678-06

Provider Name	Program Name	Contract ID #
Southeastern Family Violence Center	Family Violence Prevention	00755-06
Steps to Hope Inc	Family Violence Prevention	00088-06
Swain County SAFE Inc dba-Swain/Qualla SAFE, Inc.	Family Violence Prevention	00700-06
Task Force of Family Violence REACH	Family Violence Prevention	00606-06
The Family Violence Coalition of Yancey County, Inc.	Family Violence Prevention	00984-06
Turning Point of Union, Inc.	Family Violence Prevention	00816-06
UCARE, Inc.	Family Violence Prevention	00985-06
Wesley Shelter Inc	Family Violence Prevention	00051-06
Womenfolk Unlimited	Family Violence Prevention	00613-06
Alleghany Wellness Center Inc	At Risk Youth	00338-06
Alliance for Children & Youth Inc	At Risk Youth	00820-06
Beaufort County Schools	At Risk Youth	00340-06
Bladen County Schools	At Risk Youth	00518-06
Catawba County Hispanic Ministry	At Risk Youth	00367-06
Chapel Hill Training Outreach Project Inc	At Risk Youth	00383-06
Childrens' Village Academy	At Risk Youth	00634-06
Columbus County DREAM Center	At Risk Youth	00342-06
Communities in Schools of Brunswick County Inc	At Risk Youth	00815-06
Communities In Schools of Cleveland County	At Risk Youth	00318-06
Duplin County Schools	At Risk Youth	00378-06
Graham County Schools	At Risk Youth	00532-06
HeartWorks Family Unity & Nuturing Program	At Risk Youth	00330-06
HUG, Inc	At Risk Youth	00398-06
Hyde County Schools	At Risk Youth	00468-06
Lenior County Public Schools	At Risk Youth	00396-06
NAUW Elizabeth City Branch	At Risk Youth	00395-06
Project Reach Inc	At Risk Youth	00640-06
Scotland County Schools	At Risk Youth	00354-06
Southwestern Child Development Commission Inc	At Risk Youth	00343-06
Teen Health Inc	At Risk Youth	00633-06
The Chapel of Christ the King	At Risk Youth	00647-06
United Hmong Association	At Risk Youth	00341-06
Urban Restoration	At Risk Youth	00388-06
Wayne Uplift Resource Association, Inc.	At Risk Youth	00552-06
YWCA of the Central Carolinas	At Risk Youth	00694-06

Provider Name	Program Name	Contract ID #
Methodist Home for Children	Performance Based Contract for Adoption Services	00212-05
BIABH Adoption Plus	Performance Based Contract for Adoption Services	00892-05
Another Choice for Black Children	Performance Based Contract for Adoption Services	00835-05
UNC-CH Child Welfare Education Collaborative	Performance Based Contract for Adoption Services	126.03

CHILD WELFARE AUDIT COMPLIANCE SUPPLEMENTS

Federal Supplement Number #	Fed Programs Titles	State Programs Titles	Changes in Current Programs
		(Short Form 58) Purchase of Adoption Services from Out of State Agencies	None
		(Short Form 131) Special Children Adoption Incentive Fund	None
93.556	Promoting Safe & Stable Families (Title IV-B Subpart 2	Community Based Programs	None
93.558	Temporary Assistance for Needy Families (TANF)	Work First Program (TEA & CW MOE)	None
93.645-2	Child Welfare Services – State Grants	Perm Planning – Families for Kids	None
93.645-3	Child Welfare Services – State Grants	Adoption Assistance Program IVB also (Short Form 63) State Adoption Fund Program (Adoption Assistance)	None
93.658-2CL	Foster Care – IVE Cluster	Title IVE Maximization Program and State Funds	None – Not subject to monitoring requirement
93.658-4CL	Title IV-E Foster Care Maintenance -	Foster Care & Adoption Programs also (DHHS 28) State Foster Care Benefits Program	None
93.667-1	Social Services Block Grant (SSBG)	SSBG	None
93.667.12 (Formerly)	Social Services Block Grant (Formerly)	Special Children Adoption Fund (Now all State Funds)	Changed from TANF transferred to SSBG to all State Funds
93.667-13	Social Services Block Grant	TANF transferred to SSBG	None
93.669-2	Child Abuse and Neglect State Grants-	Community Based Family Resource Program also (DHHS 29) Family Resource Center Grants (DHHS 26) FPS	None

Federal Supplement Number #	Fed Programs Titles	State Programs Titles	Changes in Current Programs
	Child Abuse/Neglect State Grants	Child Abuse and Neglect Grant (CAPTA)	This program will not be included in this monitoring plan, as all of these funds are directed to contract agencies who are not identified in the contract list for financial assistance contracts to be monitored
93.674	Foster Care Independence Act	NC LINKS	None

NCDHHS- Division of Social Services
Family Support and Child Welfare Services Section
Work First (TANF) Program Compliance Monitoring Plan

Purpose

The Family Support and Child Welfare Services Section also supports the Work First (North Carolina's TANF) Program. North Carolina's Work First program is the Temporary Assistance for Needy Families program established in North Carolina. The purpose of the Work First Program is to provide eligible families with short-term assistance to facilitate their movement to self-sufficiency through gainful employment. The ultimate goal of the Work First program is the gradual elimination of generational poverty. This federally funded, state supervised and county administered program has its own unique set of requirements for compliance with both federal and state program accountability.

The Work First program in North Carolina is divided into three categories of assistance to participants. They include: Work First Benefit Diversion, Work First Family Assistance, and Work First Services. Work First Benefit Diversion is a short-term cash payment that is intended to substantially reduce the likelihood of a family requiring Work First Family Assistance. Work First Family Assistance is a program of time-limited periodic payments to assist in maintaining the children of eligible families while the adult family members engage in activities to prepare for entering and engaging the workplace. Work First Services are services funded from appropriations and designed to facilitate the purpose of the Work First Program.

To ensure that requirements are being met with respect to the intent of both federal and state funding, NC Division of Social Services, Family Support and Child Welfare Section will monitor all three categories of assistance in the Work First program for both fiscal and programmatic criteria. The monitoring will cover all 100 of North Carolina's counties. This monitoring will take place via varied methods, including site visits, desk audits, case record reviews, and others. Whenever possible, if existing monitoring procedures and instruments are in place, they will be incorporated into the overall monitoring plan.

In addition to monitoring the three categories of the Work First Program, the NC Division of Social Services, Family Support and Child Welfare Section will monitor the interaction between Child Support cases and Work First cases as required by the federal mandate to sanction those individuals in a Work First case who fail to cooperate with the Child Support office. This particular monitoring activity is limited in scope to compliance with federal regulations mandating the Work First Program react to the request of the Child Support office to impose a Child Support sanction on individuals in a Work First case who are designated non cooperation by the child support office.

Areas to be Monitored:

Areas	Responsible Monitor	Schedule of Monitoring	Review Tool Status
Work First Benefit Diversion	NC Work First Program Monitors	Annually	Attached
Work First Family Assistance	NC Work First Program Monitors	Annually	Attached
Work First Services	NC Work First Program Monitors	Annually	Attached
IV-D NON-COOP Sanction requests	NC work First Program Monitors	Annually	Attached

Subrecipients to be Monitored

100 county departments of Social Services (see list of County DSS agencies)

Monitoring Staff

In the Family Support and Child Welfare Services section, two full time Work First Program Compliance Monitor positions are responsible for conducting the monitoring of North Carolina's (TANF) Work First Program. In addition, a third position (Office Assistance V) has been added to support the maintenance of the information in the DHHS monitoring database.

The two Work First Program Compliance Monitors have the responsibility to conduct the monitoring function for the Work First program. The goal for the monitoring plan is: to insure all aspects of the Work First Program are identified and included in this monitoring function, and to define the monitoring process to incorporate current monitoring activities along with new or revised activities insuring that all services, activities, and corrective actions are addressed in this independent monitoring plan for the Work First Program.

Monitoring Tools

Standardized monitoring tools and instructions have been developed to monitor the program area. The monitoring tools currently in use are based on applicable laws and regulations that govern the program being monitored. With a yearly review of the monitoring plan, the Work First Program, and the Work First State Plan, the monitoring tools currently being used by the Work First Program Compliance Monitors may be updated as the need occurs. The specific monitoring tools and instructions currently in use are attached to this document.

Monitoring Schedule

The Work First Compliance monitors have divided the number of counties across the state by two keeping the Work First Representative regions intact. Each monitor will schedule monitoring activities for the counties that fall in their assigned area. The monitoring activity may take the form of site visits, desk audits, case record reviews, review of sub-recipient reports, and other methods as determined. County DSS agencies will be notified prior to their review.

Future monitoring activities may vary taking into consideration the outcome of the risk assessment for each county along with the counties performance on the yearly monitoring review. Additionally, if a county is in Program Improvement Status monitoring activities may be repeated in a current year based on the risk assessment, risk matrix information gathered in the initial review, and issues that were addressed in a corrective action plan.

Sample Size

County Departments of Social Services (government subrecipients) are divided into three levels based on the size of the agency. These levels are standardized across the Division of Social Services; have been in place for a number of years; and are used by other Sections in the Division for monitoring and reporting purposes. The county levels for the 100 DSS subrecipients are included with this monitoring plan.

LEVEL I COUNTIES	LEVEL II COUNTIES	LEVEL III COUNTIES
10 Cases	15 Cases	20 Cases

With the passage of The Personnel Responsibility and Work Opportunity Reconciliation Act of 1996 (PRWORA) and the advent of welfare reform at the federal level, dramatic changes occurred in the national welfare system. Temporary Assistance to Needy Families (TANF), the federal block grant designed to turn the old welfare system into a program of temporary assistance by moving recipients into work and away from dependency, has drastically reduced case load sizes in all of North Carolina's 100 counties.

Process of Review & Corrective Action

The Program Compliance Monitor will make the determination of whether the monitoring review will be conducted by a site visit or by a desk review. Although desk visits are allowable, site visits are preferable in order to facilitate a partnership with the county staff and generate discussion regarding the process, expectations, and potential outcomes of the monitoring process. All activities and services provided must coincide with the State and County Work First Plan. In order to allow counties maximum flexibility in implementing the Work First Program, North Carolina permits both standard and electing counties. While standard county plans follow the State Plan, electing county plans may differ from the State Plan and other standard county procedures. Program Compliance Monitors need to be familiar with or have available electing county plans.

Counties will be notified by letter, in advance of the sample of cases they are to pull for the monitoring review. They will be instructed to pull all verifications necessary to confirm compliance with the funding criteria and the program being monitored. A county Work First supervisor or Lead Worker will complete the monitoring tool for each case, and attach appropriate documentation to support the findings, such as EIS screen prints, case profiles, wage verifications, etc. The monitor will review necessary documents and conduct necessary interviews with subrecipient staff, in order to complete the appropriate standardized monitoring instrument according to instructions provided. The county may keep a copy of the completed monitoring tool the Program Compliance Monitor will maintain the original tool.

In order to determine compliance with the federal mandate to sanction individuals identified as “non cooperation” with the local child support office, the Program Compliance Monitors will select a number of cases determined by county level from the IV-D NON COOP WITHOUT A IVD SANCTION report for the month of monitoring. If fewer cases are available on the IVD NON COOP WITHOUT A IVD SANCTION report than county levels indicate, the PCM will select all cases on the report up to the county level for monitoring.

The results of the monitoring process will be documented in a written report to the county that identifies strengths that were noted along with any areas that were identified as needing improvement or determined to be out of compliance for the particular program area. This written report will be provided to the subrecipient within 30 days of the monitoring activity and will include instructions required for corrective action such as county responsible overpayments (CROPS) and/or instructions to follow in order to file an appeal of the monitoring results.

If a non-compliance issue is found, the county will develop a corrective action plan within 30 days and forward that plan to both the Program Compliance Monitor responsible for the monitoring of that county as well as that county's Work First Representative. The Work First Representative will work with the county in order to alleviate the areas of non-compliance. In the case of substantial non-compliance, the subrecipient county may move into a "high risk" category and sample sizes may be adjusted. Sample sizes may also be adjusted for counties that are not found in substantial compliance.

In the cases of a County Responsible Overpayment, a Corrective Action Plan, or an Appeal of the County Monitoring Results, a follow-up letter should be submitted by the county to the Program Compliance Monitor within 30 days detailing the action taken by the county.

Risk Assessment for Subrecipients

Subrecipients will be categorized as low, medium or high risk based on results from:

- The data collected from previous monitoring activities
- Findings and follow-up from any previous deficiencies and/or corrective action or Program Improvement Plans
- Complexity of the program and/or eligibility criteria
- Analysis of relevant evaluation data
- Past experience with county responsible over payments or other paybacks
- Any other relevant factors identified by the Program Compliance Monitor

Information from the above sources will be used to complete the "Risk Evaluation Matrix" by the Work First Program Compliance Monitor (PCM). Based on the determination of risk, a schedule may be developed for more comprehensive monitoring for subrecipients determined to be high-risk while they remain high-risk. Increased on-site monitoring visits or desk reviews, corrective action plans and progress reports, and/or expanded sample sizes may be used to conduct more comprehensive monitoring for high-risk subrecipients. Low and medium subrecipients will be monitored according to an established schedule unless other requirements for frequency take precedence.

Subrecipients will be notified in writing by the Program Compliance Monitor regarding the status of risk of their program following the procedures outlined in Part I., Sections A. and B. of the Division of Social Services Monitoring Plan.

Maintenance of Monitoring Documentation

Monitoring tools, relevant verification information, compliance findings, corrective action plans, initial and follow-up correspondence as well as County Responsibility OverPayment (CROP) documentation, and Monitoring Appeal requests and results will be maintained by the Office Assistance position, in the Family Support and Child Welfare Section, Albemarle Building, 325 N. Salisbury Street, Raleigh, NC. Records will be maintained according to the North Carolina records Retention Policy. Required information from all Work First program area monitoring activities will be entered into the DHHS monitoring data base by the current Program Compliance Monitor located in the Program Review and Compliance Monitoring Team. Monitoring data is periodically entered into the data base after all county appeals are resolved. The year end report is completed after all county monitoring documentation has been entered into the data base and after the close of the fiscal year.

WORK FIRST PROGRAM MONITORING**County Level I**

Alexander	Gates	Pamlico
Alleghany	Graham	Pasquotank
Anson	Granville	Pender
Ashe	Greene	Perquimans
Avery	Hertford	Person
Bertie	Hoke	Polk
Bladen	Hyde	Richmond
Camden	Jackson	Stanly
Caswell	Jones	Stokes
Chatham	Lee	Swain
Cherokee	Macon	Transylvania
Chowan	Madison	Tyrrell
Clay	Martin	Warren
Currituck	McDowell	Washington
Dare	Mitchell	Watauga
Davie	Montgomery	Yadkin
Franklin	Northhampton	Yancey

County Level II

Alamance	Halifax	Robeson
Beaufort	Harnett	Rockingham
Brunswick	Haywood	Rowan
Burke	Henderson	Rutherford
Cabarrus	Iredell	Sampson
Caldwell	Johnston	Scotland
Carteret	Lenoir	Surry
Catawba	Lincoln	Union
Cleveland	Moore	Vance
Columbus	Nash	Wayne
Craven	Wilkes	Wilson
Davidson	Onslow	
Duplin	Orange	
Edgecombe	Pitt	
Gaston	Randolph	

County Level III

Buncombe	Durham	Mecklenburg
Cumberland	Forsyth	New Hanover
	Guilford	Wake

WORK FIRST AUDIT COMPLIANCE SUPPLEMENTS

Federal Supplement Number	Federal Programs Titles	State Programs Titles	Changes in Current Programs
93.558	Temporary Assistance for Needy Families (TANF)	Work First Program (BD, WFFA, WFS)	None

Audit

Monitoring cases selected from the Work First Program category Work First Family Assistance are subject to a sub-review by the Office of the State Auditor.